



2151 #6 BT  
8-12-03

PTO/SB/21 (03-03)

Approved for use through 04/30/2003. OMB 0651-0031  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	10/087,000
Filing Date	February 28, 2002
First Named Inventor	Penny C. Leavy
Art Unit	2151
Examiner Name	Not yet known
Attorney Docket Number	10009.00110

RECEIVED

AUG 07 2003

Technology Center 2100

Total Number of Pages in This Submission

6\*\*

### ENCLOSURES (Check all that apply)

- ☐ Fee Transmittal Form
  - ☐ Fee Attached
- ☐ Amendment/Reply
  - ☐ After Final
  - ☐ Affidavits/declaration(s)
- ☐ Extension of Time Request
- ☐ Express Abandonment Request
- ☒ Information Disclosure Statement
- ☐ Certified Copy of Priority Document(s)
- ☐ Response to Missing Parts/Incomplete Application
  - ☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

- ☐ Drawing(s)
- ☐ Licensing-related Papers
- ☐ Petition
- ☐ Petition to Convert to a Provisional Application
- ☐ Power of Attorney, Revocation
- ☐ Change of Correspondence Address
- ☐ Terminal Disclaimer
- ☐ Request for Refund
- ☐ CD, Number of CD(s) \_\_\_\_\_

- ☐ After Allowance Communication to a Technology Center
- ☐ Appeal Communication to Board of Appeals and Interferences
- ☐ Appeal Communication to C.A.B. (Appeal Notice, Brief, Reply Brief)
- ☐ Proprietary Information
- ☐ Status Letter
- ☒ Other Enclosure(s) (please Identify below):  
Copy of Transmittal Form, Postcard, Form PTO/SB/08A

Remarks

Other Enclosures:

References Cited (References 1A, 1B, 1C, 1D, 1E, 1F & 1G)

\*\*does not include pages for references cited

### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual	Arnold M de Guzman De Guzman & Associates, PC
Signature	
Date	July 31, 2003

### CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: 07/31/2003

Typed or printed	Arnold M. de Guzman Reg. No. 39,955
------------------	-------------------------------------

Signature		Date	July 31, 2003
-----------	--	------	---------------

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.



10009.000110

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of:

Penny C. Leavy, et al.

Serial No.: 10/087,000

Filed: February 28, 2002

Title: FAULT INJECTION METHODS  
AND APPARATUS

**RECEIVED**

AUG 07 2003

Technology Center 2100

Examiner: Not yet known

Art Unit: 2151

Atty. Docket No.: 10009.000110

Commissioner of Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT**

**Under 37 C.F.R. §1.56 and §§1.97-98**

Sir:

Pursuant to the provisions of 37 CFR 1.56 and §§1.97-98, enclosed herewith is form PTO/SB/08 (substitute for form 1449A/PTO) listing references which may be material to the examination of this application, and with respect to which there may be a duty to disclose. The filing of this Information Disclosure Statement shall not be construed as a representation regarding the completeness of the list of references, or that inclusion of a reference in this list is an admission that it is prior art or is pertinent to this application, or that a search has been made, or as an admission that the information listed is, or may be considered to be, material to patentability, or that no other material information exists, and shall not be construed as an admission against interest in any manner.

A copy of each listed reference is enclosed herewith, unless no such copy is required pursuant to 37 CFR § 1.98(d).

In Re Penny C. Leavy, et al.  
US App. No.: 10/087,000

- ☐ This application relies, under 35 U.S.C. § 120, on the earlier filing date of prior application Serial No. [] filed on [], and the references cited therein are hereby listed but are not required to be provided in this application under 37 CFR § 1.98(d).

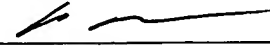
Pursuant to 37 CFR §1.97, this Information Disclosure Statement is being submitted under the section indicated below.

- ☒ 37 CFR §1.97(b).
- ☐ 37 CFR §1.97(c). If so, then either:
- ☐ Applicant certifies pursuant to 37 CFR § 1.97(e) that either:
- ☐ each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement; OR
- ☐ no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the person signing this certification after making reasonable inquiry, was known to any individual designated under 37 CFR § 1.56 (c) more than three months prior to the filing of this Statement.
- OR
- ☐ Applicant submits the petition fee of \$180 as set forth in 37 CFR § 1.17(p).
- ☐ 37 CFR § 1.97(d). If so, then both:
- ☐ Applicant certifies pursuant to 37 CFR § 1.97(e) that either:
- ☐ each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement; OR
- ☐ no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the person signing this certification after making reasonable inquiry, was known to any individual designated under 37 CFR § 1.56(c) more than three months prior to the filing of this Statement.
- AND
- ☐ Applicant submits the petition fee of \$180 as set forth in 37 CFR § 1.17(p).

Consideration of the listed references and favorable action are respectfully solicited.

Respectfully submitted,  
Penny C. Leavy, et al.

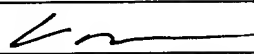
Dated: July 31, 2003

By:   
Arnold M. deGuzman  
Attorney For Applicant(s)  
Reg. No. 39,955  
DeGuzman & Associates, PC  
5276 Hollister Avenue, Suite 160  
Santa Barbara, CA 93111  
Tel.: (805) 681-5078  
Fax: (805) 681-5076

**RECEIVED**

**AUG 07 2003**

**Technology Center 2100**

CERTIFICATE OF MAILING			
I hereby certify that this correspondence, including the enclosures identified herein, is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231 on the date shown below. If the Express Mail Mailing Number is filled in below, then this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service pursuant to 37 CFR 1.10.			
Signature:			
Typed or Printed Name:	Arnold M. de Guzman	Dated:	July 31, 2003
Express Mail Mailing Number (optional):			

*If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.*